

R10 InfoPage

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Q&D - Office of Ecosystems, Tribal & Public Affairs - Tribal Trust & Assistance Unit

RECORD SERIES DESCRIPTION	DISPOSITION	NARA #
Link to the common	Link to your full printable	Link to Printable
Housekeeping Schedules	ETPA - TTAU	Intuitive Folders
not included in this table	File Plan Spreadsheet	List
<p>ADMINISTRATIVE RECORDS - PERMITS: The administrative record is required for issuance of draft and final permits for Prevention of Significant Deterioration (PSD), Resource Conservation and Recovery Act (RCRA), National Pollutant Discharge Elimination System (NPDES), and Underground Injection Control (UIC), when EPA is the permitting authority. The record includes the permit application, draft permit or notice of intent to deny, statement of basis and documentation, the environmental impact statement (NPDES only), comments received during the public comment period, public hearing transcripts and related documentation, and the final permit.</p> <p>Item a: RCRA land disposal Item b: UIC and UIC exemptions Item c: NPDES minor permits Item d: All other permits Includes NPDES except minors, pretreatment, ocean dumping, section 404 dredging and fill, PSD, and TSCA PCB disposal.</p> <p>Function: 204-079 210</p>	<p>Item a: Disposable Close inactive records at issuance of administrative record. Destroy 30 years after file closure.</p> <p>Item b: Disposable Close inactive records at issuance of administrative record. Destroy 30 years after file closure.</p> <p>Item c: Disposable Close inactive records at issuance of administrative record. Destroy 10 years after file closure.</p> <p>Item d: Disposable Close inactive records at issuance of administrative record. Destroy 10 years after file closure.</p>	<p>N1-412-07-36</p> <p>Status: Final, 06/30/2007</p>
<p>COMPLIANCE FILES: Contains records used to determine compliance with pollution regulations and to recommend legal enforcement actions if necessary. Includes compliance schedules, inspections, reports, correspondence, inventories, sampling and analytical data, field notebooks, and related documents. Also includes notices of noncompliance, and compliance orders that do not result in enforcement actions.</p> <p>Item a: Record copy</p> <p>Function: 108-025-08 211</p>	<p>Item a: Disposable Close inactive records at end of year. Destroy 5 years after file closure.</p>	<p>N1-412-07-1/10</p> <p>Status: Final, 12/31/2007</p>
<p>CONTRACT MANAGEMENT RECORDS: Contract records include all correspondence and related records pertaining to the award, administration, receipt, inspection and payment of any and all contracts to which EPA is a party and which are maintained and used by the Agency or Contracting Officer for contract documentation and for performance and financial monitoring and oversight activities. Also includes reviews and audits conducted by the Financial Analysis and Rate Negotiation Service Center (FARSC).</p> <p>Excludes: Superfund site-specific contract management records scheduled as EPA 020; final deliverables scheduled as EPA 258; and unsuccessful bids and proposals not filed with the related contract case files scheduled as EPA 275.</p>	<p>Item b: Disposable Close inactive records upon filing of final invoice or completion or termination of the task order or work assignment. Destroy 6 years and 3 months after final payment for the overall contract.</p> <p>Item c: Disposable Close inactive records upon filing of final invoice or completion or termination of the task order or work assignment. Destroy 6 years and 3 months after final payment for the overall contract.</p>	<p>N1-412-06-6/5</p> <p>Status: Final, 05/31/2007</p>

<p>Formerly called Project Officer (PO) Item c: Work Assignment Contracting Officer's Representative (COR) Formerly called Delivery Order Project Officer (DOPO) or Work Assignment Manager (WAM)</p> <p>Function: 405 202</p>		
<p>DIRECTIVES AND POLICY GUIDANCE DOCUMENTS ISSUED BY SPECIFIC PROGRAMS AND REGIONS: Includes all records that document EPA's major policy decisions and program operational procedures originated within each program and regional office providing the mandates for overall and specific program direction and action. Records consist of official policy decisions, delegations of authority, memos that set policy or issue guidance, operating guidance, procedures manuals, other procedural materials, technical resource documents, regulatory interpretation and implementation documents, and mandates for action. These collections of materials may be in the form of a program directives system or a program compendium with finding aids and indexes.</p> <p>Item a(1): Published or released to the public and related background materials - Nonelectronic</p> <p>Item a(2): Published or released to the public and related background materials - Electronic</p> <p>Item a(3): Published or released to the public and related background materials - Electronic copy of records transferred to the National Archives</p> <p>Item b: Unpublished or not released to the public and related background materials</p> <p>Function: 306-112 007</p>	<p>Item a(1):Permanent Close inactive records upon issuance or publication or when superseded. Transfer to the National Archives in 5 year blocks, 20 years after file closure.</p> <p>Item a(2):Permanent Close inactive records upon issuance or publication or when superseded. Transfer to the National Archives 5 years after file closure, with any related documentation and external finding aids, as specified in 36 CFR 1235.44-1235.50 or standards applicable at the time.</p> <p>Item a(3):Disposable Close file upon transfer to the National Archives. Delete after electronic record copy is successfully transferred to the National Archives.</p> <p>Item b:Disposable Close inactive records upon decision to not publish or issue. Destroy 10 years after file closure.</p>	<p>N1-412-06-7</p> <p>Status: Final, 12/31/2010</p>
<p>ENFORCEMENT ACTION FILES: Includes all cases referred to Office of Regional Counsel or other offices with enforcement authority, for action against a pollution source or discharger. Includes correspondence, meeting documentation, inspections, evaluations, documentation of administrative actions including notices of violation, notices of deficiency, information requests, warning letters, administrative compliance orders, documentation of civil and criminal actions; corrective action orders, attorney work products, case summaries, pleadings, state and local enforcement records, settlement documents including consent decrees. Excludes: Superfund site-specific and oil spill site-specific enforcement actions scheduled as EPA 025 and EPA 480, respectively.</p> <p>Item a: Administrative case files where no legal actions are required.</p> <p>Item b: Judicial case files where routine legal actions are required.</p> <p>Item c: Landmark or precedent cases. Includes cases as designated by the Regional Administrator's designee.</p> <p>Function: 108-025-08 207</p>	<p>Item a: Disposable Close inactive records upon settlement or closing of case. Destroy 10 years after file closure.</p> <p>Item b: Disposable Close inactive records upon settlement or closing of case. Destroy 20 years after file closure.</p> <p>Item c: Permanent Close inactive records upon settlement or closing of case. Transfer nonelectronic records to the National Archives in 5 year blocks 20 years after file closure. Transfer electronic records to the National Archives 5 years after file closure, with any related documentation and external finding aids, as specified in 36 CFR 1235.44-1235.50 or standards applicable at the time. Delete EPA reference copy 20 years after file closure. If record is microform, destroy paper after quality assurance is completed.</p>	<p>N1-412-07-2/9</p> <p>Status: Final, 01/31/2011</p>
<p>FINAL DELIVERABLES AND REPORTS: Consists of final draft and final deliverables, products, and reports submitted by contractors and grantees to the Agency, or produced in-house by individuals, committees, or task forces. Also includes final reports resulting from special studies and surveys completed within the Agency.</p>	<p>Item a(1):Permanent Close inactive records upon completion of project. Transfer to the National Archives 20 years after file closure.</p> <p>Item a(2):Permanent</p>	<p>N1-412-06-27</p> <p>Status: Final, 2/28/2011</p>

<p>Item a(2): Environmental programs, except Superfund site-specific - Electronic</p> <p>Item a(3): Environmental programs, except Superfund site-specific - Electronic copy of records transferred to the National Archives</p> <p>Item b: Superfund site-specific</p> <p>Item c: Non-environmental programs</p>	<p>after file closure, with any related documentation and external finding aids, as specified in 36 CFR 1235.44-1235.50 or standards applicable at the time.</p>	
<p>Function: 305-109-01 258</p>	<p>Item a(3):Disposable Close file upon transfer to the National Archives.</p> <p>Delete after electronic record copy is successfully transferred to the National Archives.</p> <p>Item b:Disposable Close inactive records upon completion of project.</p> <p>Destroy 30 years after file closure.</p> <p>Item c:Disposable Close inactive records upon completion of project.</p> <p>Destroy 7 years after file closure.</p>	
<p>GRANTS & OTHER PROGRAM SUPPORT AGREEMENTS: Includes records that document all types of agreements with other federal, state, or local government agencies, universities, non-profit organizations, Tribes, and other institutions to which EPA is a party, and that support EPA's environmental programs (other than Superfund site-specific, and waste water construction and state revolving fund grants). Specific types of agreements include assistance agreements, grants, cooperative agreements, interagency agreements, agreements for "guest" workers, and other types of program support agreements administered by headquarters or EPA regions and that provide for research, demonstration projects, training, fellowships, investigation, surveys, studies, or other types of program support activities.</p> <p>Also includes supporting documentation. Specific types of records include, but are not limited to, documentation of significant actions and decisions relating to and supporting the award of agreements, documentation of actions and decisions relating to the competition of agreements, announcements and solicitations of funding opportunities, justifications, requests and justifications for the non-competitive award of agreements, cost estimates, scopes of work, correspondence, applications, pre-award reviews, funding decisions, award documentation, documentation relating to the evaluation of proposals and applications, conflict of interest documentation, transmittal correspondence, agreements, agreement oversight activities, non-compliance documentation, dispute documentation, audit records, closeout documentation for completed agreements; and reports and evaluations resulting from agreements.</p> <p>Excludes: Final products and deliverables (EPA 258), Superfund site-specific grants and agreements (EPA 001), and waste water construction and state revolving fund grants (EPA 232).</p> <p>Item a: Record copy</p>	<p>Item a:Disposable Close inactive records immediately after closeout of the agreement.</p> <p>Destroy 10 years after file closure.</p>	<p>N1-412-07-34</p> <p>Status: Final, 7/31/2010</p>
<p>Function: 205 003</p>	<p>Item a(1):Permanent Close file after completion of the study or report or when canceled.</p>	<p>N1-412-07-2/2</p>

<p>Item a(1): Record copy - Nonelectronic Item a(2): Record copy - Electronic Item a(3): Electronic copy of records transferred to the National Archives</p> <p>Function: 304-107 105</p>	<p>Close file after completion of the study or report or when canceled.</p> <p>Transfer to the National Archives 5 years after file closure, with any related documentation and external finding aids, as specified in 36 CFR 1235.44-1235.50 or standards applicable at the time.</p> <p>Item a(3):Disposable Close file upon transfer to the National Archives.</p> <p>Delete after electronic record copy is successfully transferred to the National Archives.</p>	
<p>PESTICIDE PRODUCING ESTABLISHMENTS REPORTS: Consists of reports showing pesticide establishments data transferred from producers' annual reports. Reports show data concerning the kind and amount of pesticides being manufactured by the establishments, pursuant to requirements of FIFRA. The reports are output from the Section Seven Tracking System.</p> <p>Item a: Record copy</p> <p>Function: 108-025-06-01 277</p>	<p>Item a: Disposable Close inactive records when superseded.</p> <p>Destroy 1 year after file closure or when no longer needed.</p>	<p>N1-412-07-35/3</p> <p>Status: Final, 06/30/2007</p>
<p>PUBLIC AWARENESS FILES: Includes records used to produce outreach materials for the public or Congress produced by program and regional offices. Records consist of background papers, talking points, briefings and briefing books, news clippings, biographical information on EPA officials, documents on program activities, reports on program and policy developments, news releases, fact sheets, and other records used in formulating news or press releases. It also includes conference and symposium materials relating to programs, an element of the program, a particular regulation, or an environmental event.</p> <p>Item a(1): Official dissemination products - Nonelectronic Includes documents posted to EPA's Internet News Room by Headquarters and Regional Offices of Public Affairs, including press or news releases, fact sheets, and related documents.</p> <p>Item a(2): Official dissemination products - Electronic Includes documents posted to EPA's Internet News Room by Headquarters and Regional Offices of Public Affairs, including press or news releases, fact sheets, and related documents.</p> <p>Item a(3): Official dissemination products - Electronic copy of records transferred to the National Archives Includes documents posted to EPA's Internet News Room by Headquarters and Regional Offices of Public Affairs, including press or news releases, fact sheets, and related documents.</p> <p>Function: 305-109-02-04 081</p>	<p>Item a(1):Permanent Close inactive records at end of year.</p> <p>Transfer to the National Archives 10 years after file closure.</p> <p>Item a(2):Permanent Close inactive records at end of year.</p> <p>Transfer to the National Archives 5 years after file closure, with any related documentation and external finding aids as specified in 36 CFR 1235.44-1235.50 or standards applicable at the time.</p> <p>Item a(3):Disposable Close file upon transfer to the National Archives.</p> <p>Delete after electronic record copy is successfully transferred to the National Archives.</p>	<p>N1-412-07-68/14</p> <p>Status: Final, 12/31/2010</p>
<p>REGULATIONS, STANDARDS, & GUIDELINES: Files contain information relating to the development, review, and approval of published and unpublished rules and regulations pursuant to environmental legislation passed by Congress. Records include drafts of proposed regulations and guidelines, the final regulations and guidelines, public and internal comments including concurring and dissenting opinions, OMB request for comments, hearing transcripts,</p>	<p>Item a(1): Permanent Close inactive records upon promulgation of rule or approval of guideline.</p> <p>Transfer to the National Archives 20 years after file closure. If record is microform, destroy paper after quality assurance is completed.</p> <p>Item a(2): Permanent</p>	<p>N1-412-07-2/6</p> <p>Status: Final, 02/29/2008</p>

<p>regulation, standard, or guideline, along with current indexes of documents both included and cited as precedent. Files may include confidential business information or other information to which access is restricted</p> <p>Item a(1): Published regulations, standards, and guidelines - Nonelectronic Item a(2): Published regulations, standards, and guidelines - Electronic Item a(3): Published regulations, standards, and guidelines - Electronic copy of records transferred to the National Archives Item b: Unpublished regulations, standards, and guidelines</p> <p>Function: 306-114 149</p>	<p>after file closure, with any related documentation and external finding aids, as specified in 36 CFR 1228.270 or standards applicable at the time.</p> <p>Item a(3): Disposable Close file upon transfer to the National Archives. Delete after electronic record copy is successfully transferred to the National Archives.</p> <p>Item b: Disposable Close inactive records upon decision to not publish the regulation, standard, or guideline. Destroy 10 years after file closure. If record is microform, destroy paper after quality assurance is completed.</p>	
<p>SPECIAL STUDIES: Contains supporting files relating to the development of special studies and surveys produced in house by individuals, committees or task forces. Examples of such studies include topics such as environmental levels of toxic substances, coastal zone management, or economic benefits and impacts of pesticides. Excludes: Final studies and surveys scheduled as EPA 258 and management studies scheduled as EPA 105. Item a: Record copy</p> <p>Function: 108 005</p>	<p>Item a: Disposable Close upon completion of study. Destroy 7 years after file closure.</p>	<p>N1-412-07-1/1</p> <p>Status: Final, 7/31/2010</p>
<p>STATE AND OTHER ENTITY PROGRAM AUTHORIZATION AND APPROVAL FILES: Contains records that document the process for authorizing operation of a program by states and other entities in lieu of a federal program. Types of records include the application with background and supporting documentation, correspondence, copies of statutes and regulations, interim authorizations, and documentation of public participation activities. Also includes documents relating to EPA's review, evaluation, and determination of the program, development of enforcement and environmental standards, as well as authorization withdrawals as it applies to the initial program authorization and subsequent revisions Item a(1): Record copy - Nonelectronic Item a(2): Record copy - Electronic Item a(3): Electronic copy of records transferred to the National Archives</p> <p>Function: 304-104-03 204</p>	<p>Item a(1): Permanent Close inactive records at end of year or after new authorization is signed. Transfer to the National Archives in 5 year blocks 20 years after file closure.</p> <p>Item a(2): Permanent Close inactive records at end of year or after new authorization is signed. Transfer to the National Archives 5 years after file closure, with any related documentation and external finding aids, as specified in 36 CFR 1235.44-1235.50 or standards applicable at the time.</p> <p>Item a(3): Disposable Close file upon transfer to the National Archives. Delete after electronic record copy is successfully transferred to the National Archives.</p>	<p>N1-412-07-2/8</p> <p>Status: Final, 01/31/2011</p>
<p>STATE AND OTHER ENTITY RELATIONS AND OVERSIGHT FILES: Contains records used to oversee programs operated in lieu of a federal program by states and other entities. Includes reports, inspections, inventories, correspondence, program reviews, and corrective actions. Item a: Record copy</p> <p>Function: 301-093 203</p>	<p>Item a: Disposable Close inactive records at end of year. Destroy 10 years after file closure.</p>	<p>N1-412-07-1/9</p> <p>Status: Final, 03/30/2007</p>
<p>309 REVIEW & COMMENT FILES: Contains documents used in review and coordination of EPA comments on projects that may impact on the environment.</p>	<p>Item a(1)(a): Permanent Close inactive records upon completion of project review after final comment issuance.</p>	<p>N1-412-08-16</p> <p>Status: Final, 1/31/2011</p>

<p>Includes official Agency comments made pursuant to Section 309 of the Clean Air Act regarding environmental impact statements (EISs), regulations, legislation and other major federal actions, associate reviewer comments, a copy of materials reviewed, and other associated materials.</p> <p>Item a(1)(b): 309 review comment file - Electronic</p> <p>Includes official Agency comments made pursuant to Section 309 of the Clean Air Act regarding environmental impact statements (EISs), regulations, legislation and other major federal actions, associate reviewer comments, a copy of materials reviewed, and other associated materials.</p> <p>Item a(1)(c): 309 review comment file - Electronic copy of records transferred to the National Archives</p> <p>Includes official Agency comments made pursuant to Section 309 of the Clean Air Act regarding environmental impact statements (EISs), regulations, legislation and other major federal actions, associate reviewer comments, a copy of materials reviewed, and other associated materials.</p> <p>Item a(2): 309 review report</p> <p>Includes computer-generated data summarizing official 309 reviews, Federal Register notices, and other associated materials.</p> <p>Item a(3): Summarized comments</p> <p>Function: 108-025-08 135</p>	<p>Close inactive records upon completion of project review after final comment issuance.</p> <p>Transfer to the National Archives 5 years after file closure, with any related documentation and external finding aids, as specified in 36 CFR 1235.44-1235.50 or standards applicable at the time.</p> <p>Item a(1)(c): Disposable</p> <p>Close file upon transfer to the National Archives.</p> <p>Delete after electronic record copy is successfully transferred to the National Archives.</p> <p>Item a(2): Disposable</p> <p>Close inactive records at end of reporting cycle.</p> <p>Destroy 15 years after file closure.</p> <p>Item a(3): Disposable</p> <p>Close file when comments are summarized.</p> <p>Destroy after file is closed.</p>	
<p>TRAINING MATERIAL: Contains records used by Agency personnel in planning, preparing, writing, arranging, and conducting training programs for EPA and non-EPA employees, including state and other federal agency personnel. Records consist of working files generated during training development phase, training workgroup meeting notes, correspondence, training participation surveys and rosters, instructional materials, manuals, and other training aids.</p> <p>Excludes: Records for training administered by the Personnel program scheduled as EPA 571.</p> <p>Item a: Routine training materials.</p> <p>Includes training course plans and materials used for personnel and management training unrelated to the environmental missions of the Agency.</p> <p>Item c(1): Mission-related training materials - Nonelectronic.</p> <p>Includes training course plans and materials used for training in functions or activities related to the environmental goals of the Agency and its programs.</p> <p>Item c(2): Mission-related training materials - Electronic. Includes training course plans and materials used for training in functions or activities related to the environmental goals of the Agency and its programs.</p> <p>Item c(3): Mission-related training materials - Electronic copy of records transferred to the National Archives.</p> <p>Includes training course plans and materials</p>	<p>Item a: Disposable</p> <p>Close inactive records after course or material is superseded.</p> <p>Destroy 5 years after file closure.</p> <p>Item c(1): Permanent</p> <p>Close inactive records after course or material is superseded.</p> <p>Transfer to the National Archives in 5 year blocks 20 years after file closure.</p> <p>Item c(2): Permanent</p> <p>Close inactive records after course or material is superseded.</p> <p>Transfer to the National Archives 5 years after file closure, with any related documentation and external finding aids, as specified in 36 CFR 1235.44-1235.50 or standards applicable at the time.</p> <p>Item c(3): Disposable</p> <p>Close file upon transfer to the National Archives.</p> <p>Delete after electronic record copy is successfully transferred to the National Archives.</p>	<p>N1-412-06-11</p> <p>Status: Final, 04/30/2012</p>

Function: 305-109-02-04 200		
UNSUCCESSFUL GRANT APPLICATION FILES: Includes but is not limited to applications, proposals, correspondence, and other records and documentation related to unsuccessful (e.g., rejected, withdrawn, not selected for award under a competition) applications for grants and unsolicited proposals for grants that are not accepted for award. This includes documentation relating to the evaluation of the unsuccessful application or unsolicited proposal for award. Item a: Record copy Function: 205 274	Item a: Disposable Close inactive records after rejection or withdrawal. Destroy 3 years after file closure.	General Records Schedule 3/13 Status: Final, 02/14/2007
EPA NON-RECORDS: Consists of nonrecord copies. Nonrecord materials are those Agency -owned informational materials that do not meet the statutory definition of records in 44 U.S.C. Section 3301 or that have been excluded from coverage by that definition. Examples of Non-Records: Technical Reference Materials, News Clippings, Convenience Copies, Stocks of Forms, Publications, and Processed Documents, Materials Not Appropriate for Preservation, Library or Museum Materials, Working Papers and Drafts. Function: 0 008	Item a: Disposable Close when obsolete, superseded or no longer needed for reference. Destroy immediately after file closure.	NOT APPLICABLE Status: Final, 02/12/2007
Accessibility	EPA Locator	EPA Home
One EPA Workplace	A-Z Index	Region 10 Pacific Northwest (Internet)
		Back to InfoPage